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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Oleg V. BOUGRI *et al.*

Appl. No.: 09/837,604

Filed: April 18, 2001

For: Nucleic Acid Molecules and other  
Molecules Associated with Plants

Art Unit: 1635

Examiner: To be Assigned

Atty. Docket: 38-21(51892)B

**Request to Rescind Prior Request and Certification  
Under 37 C.F.R. § 1.213(b);  
Petition for Revival of an Unintentionally Abandoned  
Patent Application Under 37 C.F.R. § 1.137(f); and  
Petition for Express Abandonment Under 37 C.F.R. § 1.138(c)**

**Mail Stop Petition**

Commissioner for Patents

P.O. Box 1405

Alexandria, VA 22313-1450

OK FOR ABANDONMENT

JUL 9 - 2004

PG PUB DIVISION  
INITIALS BJD

Sir:

Applicants hereby petition in the above-captioned U.S. Application to:

(1) rescind the Request for Non-Publication and Certification filed on April 18, 2001, in the above-captioned U.S. Application in accordance with 37 C.F.R. § 1.213(b);

(2) revive the above-captioned U.S. Application under 37 C.F.R. § 1.137(f), for purposes of establishing co-pendency with child applications Serial No. (not yet assigned), filed May 14, 2003, naming Thomas J. La Rosa, Yihua Zhou, David K. Kovalic, Yongwei Cao, Brad Barbazuk, Andrey A. Boukharov, and Wei Wu as inventors and having Attorney Docket No. 38-21(53221)B (the "First Child Application") and Serial No. (not yet assigned), filed July 2, 2003, naming Thomas J. La Rosa, Yihua Zhou, David K. Kovalic, Yongwei Cao, and Jingdong Liu as inventors and having Attorney Docket No. 38-21(53373)A (the "Second Child Application"); and

(3) expressly abandon the above-captioned U.S. Application under 37 C.F.R. § 1.138(c) as of the later of the respective filing dates granted to the First Child Application

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Appl. No. 09/837,604  
Page 2

and the Second Child Application, for purposes of avoiding publication of the above-captioned U.S. application. Authorization to charge the official fees for this Petition is given in the accompanying transmittal letter. A duplicate copy of this Petition is enclosed.

The grant of the present Petition by the Office will result in:

- (1) a rescission of the Request for Non-Publication and Certification filed on April 18, 2001, in Application Serial No. 09/837,604;
- (2) revival of Application Serial No. 09/837,604, which was unintentionally abandoned under 37 C.F.R. § 1.137(f);
- (3) copendency of Application Serial No. 09/837,604 with child application Serial No. (not yet assigned) filed May 14, 2003, naming Thomas J. La Rosa, Yihua Zhou, David K. Kovalic, Yongwei Cao, Brad Barbazuk, Andrey A. Boukharov, and Wei Wu as inventors and having Attorney Docket No. 38-21(53221)B (the First Child Application);
- (4) copendency of Application Serial No. 09/837,604 with child application Serial No. (not yet assigned), filed July 2, 2003, naming Thomas J. La Rosa, Yihua Zhou, David K. Kovalic, Yongwei Cao, and Jingdong Liu as inventors and having Attorney Docket No. 38-21(53373)A (the Second Child Application); and
- (5) express abandonment of Application Serial No. 09/837,604 as of the later of the respective filing dates granted to the First Child Application and the Second Child Application in order to avoid publication of the above-captioned application.

***The Incorrect Certification Under 35 U.S.C. § 122(b)(2)(B)(i)***

On April 18, 2001, the above-captioned U.S. application was filed with a Request for Non-Publication, which contained a certification under 35 U.S.C. § 122(b)(2)(B)(i), including a statement that the invention "has not and will not be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing." (Request attached hereto as Exhibit A). Thereafter it was discovered that one or more foreign applications, which may be related to the invention disclosed in the above-captioned U.S. application, were previously filed in another country or under a

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Page 3

multilateral agreement that requires publication at eighteen months after filing. One such application was filed on April 13, 2001 (the "Previous Foreign Application").<sup>1</sup>

Therefore, Applicants believe that when the above-captioned U.S. Application was filed the certification under 35 U.S.C. § 122(b)(2)(B)(i) may have been incorrect, and wish to rescind the request for non-publication filed in the above-captioned U.S. application. Applicants believe the certification in the above-captioned U.S. Application may have been incorrect because the Previous Foreign Application is directed to one or more nucleic acid or amino acid sequences, or both, that exhibit at least 85% sequence identity over 80% of their length to one or more nucleic acid or amino acid sequences, or both, disclosed in the above-captioned U.S. Application.<sup>2</sup>

In light of the above, Applicants hereby explicitly notify the Office of the filing of the Previous Foreign Application on April 13, 2001, and rescind the request for non-publication submitted in U.S. Application Serial No. 09/837,604 pursuant to 37 C.F.R. § 1.213(b). Applicants assert that any incorrect certification made under 35 U.S.C. § 122(b)(2)(B)(i) was inadvertent.

***The Unintentional Abandonment Pursuant to 35 U.S.C. § 122 (b)(2)(B)(iii)***

It was also discovered that one or more foreign applications, which may be related to the invention disclosed in the above-captioned U.S. application, were subsequently filed in another country or under a multilateral agreement that requires publication at eighteen months after filing. One such application was filed on October 24, 2002 (the "Subsequent Foreign Application").<sup>3</sup>

Applicants inadvertently did not notify the Director of the filing of the Subsequent Foreign Application within 45 days of its filing. Therefore, Applicants believe that the

<sup>1</sup> Where more than one application was filed in another country or under a multilateral agreement, only the date for the earliest-filed foreign application is recited herein.

<sup>2</sup> Applicants do not assert that nucleic acid sequences or amino acid sequences that exhibit at least 85% identity over 80% of their length either are or are not an "invention disclosed in the application" within the meaning of 35 U.S.C. § 122.

<sup>3</sup> Where more than one application was filed in another country or under a multilateral agreement, only the date for the earliest-filed foreign application is recited herein.

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above-captioned U.S. application may be abandoned pursuant to 35 U.S.C. § 122 (b)(2)(B)(iii), because the Subsequent Foreign Application is directed to one or more nucleic acid or amino acid sequences, or both, that exhibit at least 85% sequence identity over 80% of their length to one or more nucleic acid or amino acid sequences, or both, disclosed in the above-captioned U.S. application.<sup>4</sup>

In light of the above, Applicants hereby explicitly notify the Office of the filing of the Subsequent Foreign Application on October 24, 2002, pursuant to 35 U.S.C. § 122 (b)(2)(B)(iii). Applicants assert that any delay of providing such notice to the Office was inadvertent.

Applicants hereby petition for revival of U.S. Application Serial No. 09/837,604 under 37 C.F.R. § 1.137(f), for purposes of establishing co-pendency with the above-referenced child applications. Applicants hereby assert that any and all delay in filing the required reply, *i.e.*, notification to the Office of the Subsequent Foreign Application, from the due date for the reply until the filing of a grantable petition pursuant to 37 C.F.R. § 1.137(b), was unintentional and respectfully request that the above-captioned U.S. application be revived.

***The Express Abandonment of the Above-Captioned U.S. Application***

Applicants also hereby petition for express abandonment of U.S. Application Serial No. 09/837,604 under 37 C.F.R. § 1.138(c) as of the later of the respective filing dates granted to the First Child Application and the Second Child Application, for purposes of avoiding publication of the above-captioned U.S. application.

The above-captioned U.S. application contains multiple sequences, only some of which meet the criteria such that those sequences may be considered to be the "invention disclosed" within the meaning of 35 U.S.C. § 122. However, in lieu of submitting a redacted copy of the above-captioned U.S. application, provided for under 35 U.S.C. § 122 (b)(2)(B)(v), Applicants have elected to pursue the present course of action of refiling two applications, one containing those sequences which may be disclosed in the above-referenced

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<sup>4</sup> Applicants herein reiterate the statement made in footnote 2, *supra*.

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foreign applications without a request for non-publication, and one application containing sequences which were not disclosed in the above-referenced foreign applications with a request for non-publication.

### Conclusion

In accordance with the facts set out herein, Applicants hereby petition to:

- (1) rescind of the Request for Non-Publication and Certification filed on April 18, 2001, in Application Serial No. 09/837,604;
- (2) revive U.S. Application Serial No. 09/837,604 as unintentionally abandoned under 37 C.F.R. § 1.137(f); and
- (3) expressly abandon the U.S. Application Serial No. 09/837,604 under 37 C.F.R. § 1.138(c), to avoid publication, as of the later of the respective filing dates granted to the First Child Application and the Second Application.

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Appl. No. 09/837,604  
Page 6

Should the Commissioner require additional information, he is invited to contact the undersigned at the number provided below. The undersigned is an attorney of record, or an attorney acting in a representative capacity for Applicants by virtue of being named in the transmittal papers accompanying the above-referenced child applications, and therefore has authority to petition for abandonment of the above-captioned U.S. application in favor of the above-referenced child applications pursuant to 37 C.F.R. § 1.138(b), 1.33(b), and 1.34(a).

Respectfully submitted,

*Lawrence M. Lavin, Jr.*

Lawrence M. Lavin, Jr. (Reg. No. 30,768)  
by David R. Marsh (Reg. No. 41,408)  
Holly Logue Prutz (Reg. No. 47,755)

*by Holly Logue Prutz*

Date: August 4, 2003

MONSANTO COMPANY  
800 N. Lindbergh Blvd.  
Mailzone N2NB  
St. Louis, MO 63167  
(314) 694-3602 telephone  
(314) 694-1671 facsimile

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U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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<b>REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)</b>		First Named Inventor <b>Oleg V. Bougri</b>
Title	NUCLEIC ACID MOLECULES AND OTHER MOLECULES ASSOCIATED WITH PLANTS	
Attorney Docket No.	38-21(51892)H	

I hereby certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

April 18, 2001  
Date

  
Signature

Jian S. Zhou (Reg. No. 41422)  
Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application upon filing.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant must notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending on the needs of the individual cases. Any comments on the amount of time you required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, DC Washington, DC 20231.





**Application**

Application Number **09837604**

Confirmation No: 3406

Effective/Priority Filing Date

04/19/2000

Actual Filing Date:

04/18/2001

**Indicators**

- ☒ [unclassified]
- ☐ [unclassified]
- ☐ [unclassified]


Title of Invention: Nucleic acid molecules and other molecules as

Filing Type	Status Description	Projected Pub Date	Projected Export Dt	Actual Export Dt	System Cd
NEW	Express Abandonment				PA






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**Application**

Application Number  Confirmation No: 3406

Effective/Priority Filing Date: 04/19/2000 Actual Filing Date: 04/18/2001

Title of Invention: Nucleic acid molecules and other molecules as

**Indicators**

☒ Not Pub  
☐ Pub & Pub  
☐ Pending Pub

Filing Type	Status Description	Projected Pub Date	Projected Export Dt	Actual Export Dt	System Cd
NEW	Pub Processing	10/21/2004	08/19/2004		PA

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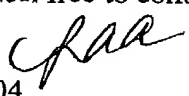
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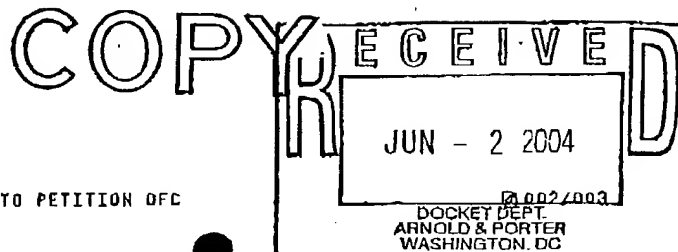
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July 8, 2004

<b>RECIPIENT NAME(S)</b>	<b>RECIPIENT FAX NUMBER(S)</b>	<b>RECIPIENT TELEPHONE NUMBER(S)</b>	<b>RECIPIENT ROOM #(S)</b>
Tammy Koontz	(703) 305-8568	(703) 605-4283	
<b>SENDER</b>	<b>SENDER'S TELEPHONE NUMBER</b>	<b>SENDER'S ROOM NUMBER</b>	
Lisa A. Adelson	(202) 942-5325	977	
<b>CLIENT/MATTER NUMBER</b>	<b>TIMEKEEPER NUMBER</b>	<b>NUMBER OF PAGE(S)</b>	
16517.300	7787	We are transmitting 13 page(s) (including this cover sheet)	
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This document must be transmitted no later than: July 8, 2004 ASAP		Alternate telephone number at which the sender can be reached if there are difficulties with this fax:	
If you experience difficulty receiving this fax transmission, please contact the operator at 202.942.5837.			
<b>MESSAGE</b>			
<p>Re: U.S. Application No. 09/837,604 Tammy,</p> <p>As per my voicemail message, I have discovered that there is a second application that requires action on the request to rescind prior request and certification under 1.213(b) and the request for express abandonment. Accordingly, please find attached via facsimile a courtesy copy of the documents related to this additional application. Just as for yesterday's facsimile, the petition for revival has already been granted. For your convenience, a courtesy copy of the decision granting revival is enclosed.</p> <p>If you have any questions, please feel free to contact me directly at (202) 942-5325. Many thanks for your kind assistance.</p> <p style="text-align: right;">Lisa A. Adelson* </p> <p style="text-align: right;">Reg. Agent No. 51,204</p> <p>*Not admitted to the practice of law. Admitted to practice before the U.S. Patent and Trademark Office only.</p>			

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Paper No. 10

LAWRENCE M LAVIN JR  
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800 N LINDBERGH BOULEVARD  
ST LOUIS MO 63167

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OFFICE OF PETITIONS

In re Application of  
Bougri, et al.  
Application No. 09/837,604  
Filed: April 18, 2001  
Attorney Docket No. 38-21(51892)B

ON PETITION

This is a decision on the petition to revive under 37 CFR 1.137(b), pursuant to 37 CFR 1.137(f), filed August 4, 2003.

The petition is GRANTED.

Petitioner states that the instant application is the subject of a PCT international application filed on October 24, 2002. However, the US Patent and Trademark Office was unintentionally not notified of this filing within 45 days subsequent to the filing of the PCT application.

In view of the above, this application became abandoned pursuant to 35 USC 122(b)(2)(B)(iii) and 37 CFR 1.213(c) for failure to timely notify the Office of the filing of an application in a foreign country, or under a multilateral international agreement, that requires publication of applications 18 months after filing.

A petition under 37 CFR 1.137(f) must be accompanied by:

- (1) the reply, which is met by the notification of such filing in a foreign country or under a multinational treaty;
- (2) the petition fee as set forth in 37 CFR 1.17(m); and
- (3) a statement that the entire delay in filing the required reply from the due date of the reply until the filing of a grantable petition was unintentional.

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USPTO PETITION OFC

003/003

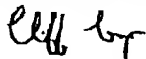
Application No. 09/837,604

Page 2

The instant petition has been found to be in compliance with 37 CFR 1.137(f). Accordingly, the failure to timely notify the Office of a foreign or international filing within 45 days after the date of filing of such foreign or international application as provided by 35 USC 122(b)(2)(B)(iii) and 37 CFR 1.213(c) is accepted as having been unintentionally delayed.

The file is being forwarded to the Office of Pre-Grant Publication for consideration of the petition for express abandonment, filed August 4, 2003.

Telephone inquiries regarding this decision should be directed to the undersigned at (703) 305-0272.



Cliff Congo  
Petitions Attorney  
Office of Petitions

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Atty. Docket No.:  
Date:16517.001/1692B  
August 4, 2003IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Oleg V. BOUGRI *et al.*  
Appl. No.: 09/837,604  
Filing Date: April 18, 2001  
Title: Nucleic Acid Molecules and Other Molecules Associated with Plants

Art Unit: 1635  
Examiner: To be Assigned

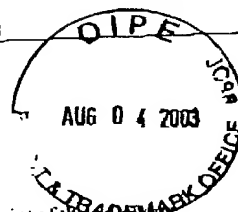
Mail Stop Petition

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Please place the U.S. Patent & Trademark Office receipt stamp hereon to acknowledge receipt of the

1. a Transmittal Letter (in duplicate);
2. Request to Reconsider Prior Request and Certification Under 37 C.F.R. § 1.213(b); Petition for Revival of an Unintentionally Abandoned Patent Application Under 37 C.F.R. § 1.137(l); and Petition for Express Abandonment under 37 C.F.R. § 1.138(c) (in duplicate);
3. Exhibit A—copy of Request and Certification under 35 U.S.C. 122(b)(2)(B)(i); and
4. a return postcard.



Return postcard to:

Holly Logue Prutz (Room 1196)

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## ARNOLD &amp; PORTER

Holly Logue Prutz  
Holly\_Prutz@aporter.com202.942.5243  
202.942.5999 Fax555 Twelfth Street, NW  
Washington, DC 20004-1206

August 4, 2003

**Mail Stop Petition**Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Re: U.S. Patent Application No. 09/837,604  
Filed: April 18, 2001  
Title: Nucleic Acid Molecules and Other Molecules Associated  
with Plants  
Applicants: Oleg V. BOUGRI *et al.*  
Atty. Docket: 16517.001/51892B

Sir:

The following documents are forwarded herewith for appropriate action by the U.S.  
Patent and Trademark Office (PTO):

1. a Request to Rescind Prior Request and Certification Under 37 C.F.R. § 1.213(b);  
Petition for Revival of an Unintentionally Abandoned Patent Application Under 37  
C.F.R. § 1.137(f); and Petition for Express Abandonment Under 37 C.F.R. § 1.138(c)  
(in duplicate);
2. Exhibit A--copy of Request and Certification under 35 U.S.C. 122(b)(2)(B)(i); and
3. a return postcard.

Please stamp the attached postcard with the filing date of these documents and return it to  
our courier.

Applicants request that the following fees be charged to Deposit Account No. 50-2387  
referencing docket number 16517.001/51892B:

<u>\$ 1,300.00</u>	petition to revive unintentionally abandoned application fee; and
<u>\$ 130.00</u>	petition for express abandonment fee.

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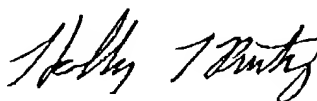
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Commissioner for Patents  
Atty. Docket: 16517.001/51892B  
August 4, 2003  
Page 2

Applicants do not believe any fees, other than the above fees (\$1,430), are due in conjunction with this filing. However, if any additional fees under 37 C.F.R. §§ 1.16 or 1.17 are required in the present application, including any fees for extensions of time, then the Commissioner is hereby authorized to charge such fees to Arnold & Porter Deposit Account No. 50-2387 referencing matter number 16517.001/51892B. A duplicate copy of this letter is enclosed.

Respectfully submitted,



David R. Marsh (Reg. Attorney No. 41,408)  
Holly L. Prutz (Reg. Attorney No. 47,755)

Attachments